

## UTILITY

PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

1954-418

First Inventor

John ROSSI et al.

Title

METHODS FOR DIRECTING DNA METHYLATION  
IN MAMMALIAN CELLS USING HOMOLOGOUS,  
SHORT DOUBLE STRANDED RNAs17510 U.S. PTO  
10/776635☒ Applicant for Published Patent Application: City of Hope  
Duarte, California USA

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Director of the United States Patent  
and Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

1. ☒ Fee Transmittal Form (WITHOUT PAYMENT)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [ 30 ]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross references to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets) [ 6 ]
5. ☐ Oath or Declaration (Total Pages) [ ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application  
(37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
**[Note Box 5 below]**
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,
6. ☒ Application Data Sheet.

7. ☐ CD-ROM or CD-R in duplicate, large table  
or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

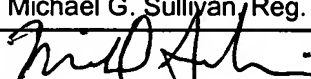
## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement /PTO 1449
  - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☐ Request and Certification under 35 U.S.C.  
122(b)(2)(B)(i).
17. ☒ Other: Request for Early Publication with  
Accounting Copy (for \$300 Payment)

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an  
application Data Sheet under 37 CFR 1.76::☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.☒ Customer Number or Bar Code Label 6449

Address	Rothwell, Figg, Ernst & Manbeck Suite 800, 1425 K Street, N.W.				
City	Washington	State	D.C.	Zip Code	20005
Country	U.S.A.	Telephone	202-783-6040	Fax	202-783-6031
Name	Michael G. Sullivan, Reg. No. 35,377				
Signature				Date 2/12/04	

**FEE TRANSMITTAL  
for FY 2003  
(Small Entity)**

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	John ROSSI <i>et al.</i>
Examiner Name	To BE Assigned
Group Art Unit	To Be Assigned

Total Amount of Payment (\$ ) 0.00

Attorney Docket Number 1954-418

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck
- ☐ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status.
2. ☐ Payment Enclosed:  
☐ Check  
☐ Credit Card

**FEE CALCULATION**

**1. FILING FEE**

Fee Code	Fee \$	Fee Description	Fee Paid
2001	385	Utility filing fee	[ ]
2002	170	Design Filing Fee	[ ]
2003	265	Plant Filing Fee	[ ]
2004	385	Reissue Filing Fee	[ ]
2005	80	Provisional Filing Fee	[ ]

**SUBTOTAL \$ 385.00**

**2. CLAIMS**

Total Claims	Extra Claims	Fee	Fee Paid
[26] - 20** = [6] x		\$ 9 =	[54]
Independent Claims [1] - 3** = [ ] x		43 =	[ ]
Multiple Dependent Claims +		145 =	[ ]

\*\*or number previously paid, if greater;

**SUBTOTAL \$ 54.00**

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Fee Code	Fee Paid	Fee Description	Fee Paid
2051	65	Surcharge - late filing fee or oath	[ ]
2052	25	Surcharge - late provisional filing fee or cover sheet	[ ]
1053	130	Non-English specification	[ ]
1812	2,520	For filing a request for reexamination	[ ]
1804	920	Requesting publication of SIR prior to Examiner action	[ ]
1805	1,840*	Requesting publication of SIR after Examiner action	[ ]
2251	55	Extension for reply within first month	[ ]
2252	210	Extension for reply within second month	[ ]
2253	475	Extension for reply within third month	[ ]
2254	740	Extension for reply within fourth month	[ ]
2255	1,005	Extension for reply within fifth month	[ ]
2401	165	Notice of Appeal	[ ]
2402	165	Filing a brief in support of an appeal	[ ]
2403	145	Request for Oral Hearing	[ ]
1451	1,510	Petition to institute a public use proceeding	[ ]
2452	55	Petition to revive -unavoidable	[ ]
2453	475	Petition to revive - unintentional	[ ]
2501	665	Utility issue fee (or reissue)	[ ]
2502	240	Design issue fee	[ ]
2503	320	Plant issue fee	[ ]
1460	130	Petitions to the Commissioner	[ ]
1807	50	Processing fee under 37 CFR 1.17(q)	[ ]
1806	180	Submission of Information Disclosure Statement	[ ]
8021	40	Recording each patent assignment per property (times number of properties)	[ ]
2809	385	Filing a submission after final rejection (37 CFR .129(a))	[ ]
2810	385	For each additional invention to be examined (37 CFR 1.129(b))	[ ]
2801	385	Request for Continued Examination (RCE)	[ ]
1802	900	Request for expedited examination of a design application	[ ]
1504	300	Publication fee for early, voluntary, or normal publication	[ ]
1505	300	Publication fee for republication	[ ]
1455	200	Filing an application for patent term adjustment	[ ]
1456	400	Request for reinstatement of term reduced	[ ]
		Other fee (specify)	[ ]

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$**

SUBMITTED BY		Complete (if applicable)	
NAME AND REG. NUMBER	Michael G. Sullivan, Reg. No. 35,377		
SIGNATURE	DATE	DEPOSIT ACCOUNT USER ID	02-2135

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : To Be Assigned  
Applicant : John J. ROSSI et al.  
Filed : February 12, 2004  
TC/A.U. : To Be Assigned  
Examiner : To Be Assigned

Docket No. : 1954-418  
Customer No. : 06449  
Confirmation No. : To Be Assigned

**Request for Early Publication Under 37 C.F.R. §1.219**

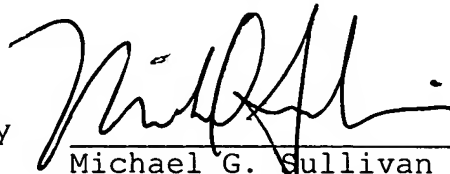
Director of the United States Patent  
and Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Applicants respectfully request that the above-identified application be published under 37 C.F.R. §1.219. The Commissioner is authorized to charge the required fee (\$300.00) to Deposit Account No. 02-2135. An additional copy of this document is enclosed.

The assignee information, as identified on the application transmittal sheet and application data sheet, is: City of Hope, Duarte, California.

By



Michael G. Sullivan  
Attorney for Applicants  
Registration No. 35,377  
ROTHWELL, FIGG, ERNST & MANBECK, p.c.  
Suite 800, 1425 K Street, N.W.  
Washington, D.C. 20005  
Telephone: (202) 783-6040